PANDEMIC INFLUENZA

Preparedness, Response, and Recovery

GUIDE FOR CRITICAL INFRASTRUCTURE AND KEY RESOURCES





Annex: Water and Wastewater Sector Pandemic Guideline

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Purpose: This Sector-specific guideline is an annex to the *Pandemic Influenza Preparedness, Response, and Recovery Guide for Critical Infrastructure and Key Resources* (CI/KR Pandemic Guide)* and intends to assist water and wastewater utilities in planning for a catastrophic pandemic. Utilities that fail to prepare for such a prolonged catastrophic event may find themselves without the staff, equipment, or supplies necessary to continue providing safe drinking water or treating wastewater for their community.

*See www.pandemicflu.gov/plan/pdf/cikrpandemicinfluenzaguide.pdf for a copy of the complete CI/KR Pandemic Guide.

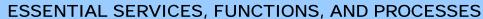
How-to-Use Guidelines: The guideline serves as a non-prescriptive reference for owner-operators and a practical tool planners can use to augment and tailor existing emergency response plans given the unique challenges a pandemic presents. It is important to integrate your pandemic planning with your existing business continuity and emergency response plans and/or the CI/KR Pandemic Guide's comprehensive framework for pandemic catastrophic planning. This annex addresses seven major areas of vulnerability the Water and Wastewater Sector should assess in planning for a pandemic. In addition, there are other valuable pandemic planning resources available for the Water and Wastewater Sector that should be considered, including the Association of Metropolitan Water Agencies' "Business Continuity Planning in the Event of an Influenza Pandemic: A Reference Guide" (www.amwa.net/cs/pandemicreference) and the National Rural Water Association's "Small System Pandemic Influenza Checklist" (www.nrwa.org). While not necessarily applicable to all entities in a given sector, each relevant Action, Supporting Action, and Question to Consider in this Guideline can be integrated as a separate checklist item during the planning process.

- Actions: These are primary checklist items with numerous related supporting actions and questions to consider.
- Supporting Actions: Expanding on the overarching action, these supporting actions offer specific suggestions for further study.
- Questions to Consider: These questions are Sector-specific and designed to focus on the main and supporting actions. The questions are not comprehensive; they simply represent a starting point to stimulate thinking about further actions and options.

Planning Assumptions: The unpredictable nature of a pandemic makes it impossible to forecast the characteristics or severity of a pandemic virus accurately. However, if a severe pandemic emerges, given today's highly mobile population, outbreaks may occur nearly simultaneously throughout the country making reallocation of resources more difficult than with other emergencies. The following guidance, which is based on disease impact assumptions from the Centers for Disease Control and Prevention (CDC), includes the following:

- Susceptibility to the pandemic influenza virus will be universal.
- Once person-to-person transmission begins, the disease will spread rapidly around the globe.
- The clinical disease attack rate will likely be 30 percent or higher in the overall population during the pandemic.
- Rates of absenteeism will depend on the severity of the pandemic. In a severe pandemic, absenteeism attributable to illness, the need
 to care for ill family members and fear of infection may reach 40 percent during the peak weeks of a community outbreak.
- Epidemics will last 6-8 weeks in affected communities.
- Multiple waves (periods where community outbreaks strike across the country) will likely occur with each lasting 2-3 months.

For detailed information on the complete set of planning assumptions and the pandemic context, see Section 3 of the CI/KR Pandemic Guide and other Federal guidance available at www.pandemicflu.gov.



Industries in every sector of the American economy will experience pandemic impacts. The Water and Wastewater sector will play a key role in keeping one of America's most crucial and life-saving services operational. Shortages and disruptions to basic services, functions, and national infrastructure may cause localized challenges for communities. Effective coordination with public safety officials and community leaders will facilitate the integration of water and wastewater utilities into community emergency operations planning. This sector's essential services include potable water distribution, wastewater services, and water for firefighting and hospitals. The sector's essential functions include producing potable water and treating wastewater. The sector's essential processes include water treatment, storage and distribution, wastewater collection and treatment.

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ACTION Identify and assess your system's		s essential services, functions, and processes.	
√	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER	
	Maintain all essential services, functions, and processes necessary to keep systems running.	• Assume your treatment facility is off-line. Have you engaged local and state stakeholders in contingency planning (e.g., will bottled water substitute for lack of treatment, and is this even possible)? For wastewater, what will be the effect of reduced or no treatment?	
	Identify key customers (i.e., first responders and hospitals) with specific needs.	• If normal water source availability has been disrupted how will your utility obtain alternate water sources or supply (e.g., other raw water sources; interconnections with other treatment systems; bottled water; potable water shipment from outside the community)?	
	Prioritize your critical customers based on their value to the community.	What essential business functions (such as billing, payroll, treatment and transmission) and processes must you sustain to produce, distribute, and maintain essential services,	
	Prioritize essential services and functions given their value to essential customers and the community.	functions, and processes?Have you communicated with your critical customers and suppliers the need to jointly plan for a pandemic?	
	Identify and prioritize potential non-essential functions you can suspend, and prioritize essential functions for possible authorized reduction/suspension.	• If a pandemic worsens and drastic measures must be taken to sustain at least minimal essential operations, have you prioritized all functions, essential and non-essential, to potentially reduce or suspend in an authorized/approved manner (e.g., prioritize availability of firefighting water versus potable water)?	

ESSENTIAL EQUIPMENT

Unlike other disasters, a pandemic will not directly physically damage infrastructure. However, planners need to assess the indirect impact that worker absenteeism due to the pandemic will have on reduced or delayed normal maintenance on essential equipment and may have on emergency repair or equipment replacement. In addition, a pandemic's impact on the supply chain (i.e. "just-in-time" delivery, warehousing, and logistics) could have a significant impact on the ability to get replacement equipment as well as essential parts and supplies such as valves, pipes, motor starter centers and hydrants to repair and maintain equipment. Contingency plans should address the potential lack of equipment replacements and parts and supplies for an extended period for all primary and supporting essential equipment.

	suppo	supporting essential equipment.			
ACTION		TION	Review equipment critical to support each essential function.		
	✓		SUPPORTING ACTIONS		QUESTIONS TO CONSIDER
	_	contini	y equipment that must operate uously and/or at key periods to sustain tial functions and processes.	•	How can you modify equipment and processes temporarily to maintain essential functions? How will pandemic-induced changes in customer demand (e.g., decreased demand from industrial customers, increased demand from residential customers) affect operations and demand on essential equipment?

- Plan to rely on in-house or available local resources for up to 12 weeks.

 Consider using an Asset Management tool or other similar tools to inventory your critical equipment.

 Review the utility's primary and supporting components to identify potential single-point failures and cascading consequences.

 Consider how each action relates to those developed to address other emergencies in your existing business contingency plans.

 (www.epa.gov/safewater/watersecurity/pubs/small_medium_ERP_guidance040704.pdf)
- How will you maintain and repair essential equipment given potential supply chain issues?
- Is similar substitute equipment available locally to sustain utility operations temporarily (e.g., portable pumps and generators)?
- Do you have physical interconnections with other water systems and have you tested these connections and systems?
- Is your equipment clearly mapped and marked for mutual aid and assistance teams to locate in the case of emergency repair or replacement by others?
- Have you developed standard operating procedures for your processes and equipment, and, if so, have you distributed them broadly to managers and staff?
- Do you have pre-established contracts with multiple equipment vendors for emergency replacement and repair during a pandemic?

ACTION Prepare to sustain essential equipment for a wave lasting up to 12 weeks.		
✓	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER
	Prioritize the options available to you to reduce demands on your resources.	Is there excess operational capacity in your utility's essential equipment to sustain functions while alternating and reducing demands on specific equipment and workers?
	Assess recurring and preventative maintenance requirements.	 Do you have replacements available for all essential equipment either on-site or locally? Is your regular routine maintenance on your essential equipment up-to-date, and how much
	Assess implications if your essential equipment fails early on during the pandemic outbreak.	 routine maintenance is required for this equipment? Do you have updated standard operating procedures for this equipment, and have you changed them to address pandemic conditions (e.g., social distancing strategies)?
	Join with a mutual aid and assistance program to assist you with essential equipment, noting that traditional mutual aid and assistance networks may not function as usual during a pandemic.	 Can you defer or accelerate scheduled maintenance on short notice? Can suppliers ensure priority delivery of replacement parts for assets during an extended pandemic wave; how will this be accomplished? Can you maximize use of equipment/processes that can function via remote access?

ESSENTIAL RAW MATERIALS AND SUPPLIES

A pandemic "wave" may linger in a community for six to eight weeks, and nationally for approximately 12 weeks. The negative impacts on individuals, businesses, and the nation from the illness and disease mitigation strategies will have an effect over a much greater duration than other typical disaster scenarios. A severe pandemic may disrupt access to your essential materials and supplies necessary to function for up to 12 weeks. Utilities should explore their supply chains, beginning with internal storage capacity and tracking along the network to the source of the materials. Given an increased reliance on "just-in-time" delivery and the potential impacts that could affect your supply chain, you may need to stockpile chemicals (e.g., coagulants, pH adjustors, and disinfectants), fuels, lubricants, filters, repair parts, and Personal Protective Equipment (PPE) (e.g., masks, gloves, hand sanitizer) on site or locally or ensure availability by making other contingency plans.

Identify materials and supplies to sustain essential functions and equipment for up to 12 weeks.

✓	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER
	Identify critical inputs (i.e., disinfectants, coagulants and other treatment chemicals) necessary to maintain safe water.	How much of which materials/supplies (e.g., pounds of disinfectants, gallons of diesel, coagulants, and lab supplies) are required to sustain the most essential operations for up to 12 weeks in case supply chain production and/or delivery challenges develop during a
	Prioritize essential material and supplies necessary to operate equipment and sustain essential functions.	 pandemic wave? What materials might you be able to substitute as backups temporarily for preferred critical ones (e.g., a more readily available but less efficient disinfectant; dyed diesel for backup generators; synthetic lubricants)?
	Identify options to reduce demand for essential supplies and materials.	Are there operations and maintenance/repair processes that may be temporarily modified to reduce demand on stocking supplies (e.g., extend period between changing fluids)?
	Explore options (e.g., a regional stockpile for treatment chemicals) that might reduce the need to stockpile high-cost or hazardous materials on-site.	 What happens if your supply chain cannot provide critical materials or supplies? How will you know if your supply chain businesses may be experiencing or are anticipating difficulty in providing goods/services?
	Assess all internal and external supply-chain support operations and contracts.	Have you researched the possibility and feasibility of using alternative technologies/equipment requiring different, more easily accessible supplies?

ACTION Determine the most effective ways to ensure an adequate supply of essential materials.		ive ways to ensure an adequate supply of essential materials.
✓	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER
	Assess costs to procure, stock, and delivery of essential materials.	extraordinary costs (e.g., retained earnings, special disaster fund, municipal bond)?
	Identify physical or safety limitations stocking sufficient critical supplies lo	• If supply chains are disrupted how will you obtain the necessary materials to continue operations for the duration of a pandemic wave?
	Identify a formal chain of command someone is available to authorize memergency procurements.	or temporarily if necessary?
	Identify additional security needs for high-value material stockpiles.	 Are warehouses or storage containers available locally on short notice? Are critical workers authorized to independently make purchases via credit card or open

0	Identify potential 1st/2nd/3rd-order vulnerabilities or unintended effects to supply chain (i.e., who supplies your suppliers?). Coordinate with all supply-chain vendors.	 purchase order? If you cannot stockpile critical materials or your "just-in-time" supply chain fails, do you have effective backup plans (e.g., pre-negotiated contracts with multiple other chemical and fuel suppliers for priority/emergency deliveries)? Have you integrated your planning with your local/regional suppliers to ensure receiving priority support? How can you provide incentives for your support contractors to become better prepared (e.g., collaborate on planning, integrate preparedness training, and stipulate pandemic planning and certification in all supply contracts)?

ESSENTIAL WORKERS

A severe pandemic may generate extended absences for essential workers that might affect you and your supply chain. During a pandemic the actual level of workforce absenteeism could approach 40 percent. To complicate matters, the disease will strike randomly among employees from operation managers to front-line workers as well as employee families. Implementing rigorous personal hygiene and social distancing strategies along with the strategic use of PPE in the workplace may alleviate potential worker-related crises. A list of your most essential workers will likely include, but will not be limited to: state certified water and wastewater treatment utility operators; distribution system operators; collection system operators; maintenance/repair specialists; laboratory technicians; electrical and SCADA technicians; business support; and supervisors.

ACTION Identify the types and numbers of v		workers critical to sustain essential functions.
✓	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER
	Identify essential workers based on ability to sustain essential equipment and functions.	Have you identified the workers who are essential to sustain the essential functions and equipment necessary to produce your most essential goods and services?
	Define the roles and responsibilities of employees, labor organizations, staff, supervisors, managers, and staff medical	• Are there constraints in employing union contract workers and/or for specific local worker contracts in non-standard ways during an emergency temporarily (e.g., can a skilled maintenance technician temporarily serve as an operator)?
	personnel during a pandemic. Assess requirements based on operational	What different challenges do you face with modifying standard tasks and/or supporting or replacing full-time versus part-time or seasonal employees?
Ш	demands for essential workers (e.g., 24-hour manual intensive vs. SCADA managed	• Are there differences in your workforce by age and/or family status (e.g., employees with younger children may be affected more by school closures and self-quarantine)?
	systems). Assess impacts from an extended absence by essential workers.	 What are the different workforce challenges for on-site vs. off-site and full vs. part-time contractors to perform essential functions? What essential operations might you support temporarily through external contract support
	Assess your options to obtain contractor backup support on essential operations and determine how quickly that can be started.	(e.g., laboratory water testing and hazardous waste disposal), and how prepared are these support contractors for a pandemic?

AC	ACTION Identify policies and procedures to protect and sustain workers during a pandemic.				
✓	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER			
	Reduce demands on essential workers who are on the front lines of defense in maintaining	Are there practical temporary changes you can take to increase essential worker availability (e.g., extending shifts to 12 hours, adding overtime, and using other non-essential workers)?			
	and restoring a community's utilities. Temporarily augment essential worker ranks.	Have you considered the possibility of sending home non-essential staff to reduce the chance for disease introduction and transmission?			
	Coordinate with State officials on using non- certified workers during a pandemic.	Have you considered the need and conditions for more extreme measures, such as sequestering on-site the most essential staff?			
	Emphasize worker and workplace disease	Will your State allow certification waivers to perform essential jobs temporarily?			
–	control and protection. For more information,	In a crisis, will your State recognize an operator's certification from another State?			
	see: www.pandemicflu.gov/plan/workplaceplanning/ index.html.	Have you cross-trained non-essential workers to perform essential jobs temporarily in an emergency?			
	Determine which types of PPE are best for	Could you employ off-site work options for part of your staff (e.g., business office staff)?			
	your various worker types. For information on suggested PPE use, see: www.osha.gov/	• Should you enhance your worksite's cleaning procedures, especially in wastewater utilities (www.osha.gov/Publications/influenza_pandemic.html)?			
	Publications/nfluenza pandemic.html	How do you fund the costs associated with stocking worker protection items such as PPE?			
	Consider plans to increase number of employees who work from home. Ensure IT	What impacts will PPE use have on worker productivity (e.g., can you use PPE when performing your utility's heavy physical labor)?			
	system can support this action. Develop a protocol (seek medical attention,	Have you established a process for your occupational health nurse to follow up on sick employees?			
	stay away from work, notify supervisor) for employees to follow if they contract the virus,	Have you considered closing or restricting use of non-critical common areas, such as exercise rooms and cafeterias?			
	show symptoms, or have ill family members.	Have you considered the need or the ability to completely separate staff and			
	Consider implementing a process to screen employees and visitors at the entrances to your critical facilities.	customers/visitors while performing all functions?			
AC.	Identify Human Resource (HR) and	protective actions to sustain essential workforce.			
√	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER			
	Assess standard water and wastewater utility HR policies and procedures.	Have you adapted existing and/or developed new sick leave policies to support ill workers and workers with ill family members (www.pandemicflu.gov/plan/community/			
	Develop additional HR policies specific to pandemic response.	 commitigation.html)? Have you met with unions and other HR groups on implementing new policies temporarily? 			
	Identify likely legal considerations that may	Have you communicated with workers and their families about potential HR policy changes?			
	arise from these new HR actions.	Have you identified possible actions to help reduce potential abuse of the leave policies you have adapted to account for the possible extended absences by employees?			

Develop plans and procedures that provide support and assistance to employees' families.
 Provide regular communication to all staff on the latest health advisories and pandemicrelated recommendations.
 Have you identified legal and business effects from employing emergency HR policies (e.g., costs associated with leave policies)?
 Have you considered prescreening essential staff to gauge their willingness to receive antiviral medications and/or vaccines given the potential side effects?
 Have you considered relevant Federal, State, or local laws (e.g., FMLA www.dol.gov/esa/whd/fmla/) that govern extended leave for employees?

ESSENTIAL INTERDEPENDENCIES

When a pandemic strikes, it will affect nearly every sector of our society, not just health care, but energy, transportation systems, workplaces, schools, public safety, and more. Successful preparedness and response will require a coordinated nation-wide effort, including Federal, State, local governments and most importantly the private sector. To facilitate a swift pandemic response and recovery, the Water and Wastewater Sector must identify and be able to sustain its essential interdependencies within and across sectors. Interdependencies requiring advanced coordination include support from other utilities, businesses, government agencies, as well as essential goods and services, including, but not limited to, electricity, fuel, telecommunications and transportation.

Identify the interdependent relationships and take actions to sustain this essential support. **ACTION QUESTIONS TO CONSIDER** SUPPORTING ACTIONS Assess your external cross-sector essential • What other sectors (e.g., Communications, Energy, Food & Agriculture, and Transportation) service support requirements. are you most reliant on to sustain your critical operations, and what have you done to assess and enhance those relationships for pandemic response? Assess capability of Water and Wastewater What customers are most dependent on your water and wastewater operations, and what Agency Response Networks (WARNs), as well should you do to support them? as other informal mutual aid and assistance networks in order to reduce vulnerabilities. Do all water systems in your region have adequate stockpiles of materials and cross-trained personnel on hand to reduce potential demands for emergency interdependent support? Collaborate with public/private partners, such • Can you reduce your utility's vulnerability and reliance on municipal and cross-sector as State/local health authorities and first support (e.g., installing multiple electrical feeds and generation sources to backup your responders, who support and rely on you. electrical supply)? Consider developing joint operational plans Are you part of your community's pandemic planning and preparedness process? with service providers, suppliers, and Have you integrated your pandemic plans with government and cross-sector plans? customers. Do you participate in public and private pandemic planning and response training exercises?



In response to a pandemic, the government may provide direct support in the form of vaccines, antiviral medications, and personal protection supplies for essential workers; priority and clearances for a business' supply deliveries; on-site public safety and physical security augmentation. Indirect support may come from governmental relief such as waivers for key regulatory issues specific to a sector. It is important to clearly understand that currently utilities should not consider possible relief and/or waivers from regulatory requirements in their pandemic planning. However, early discussions with your regulatory officials can best identify issues that may need to be addressed during a pandemic.

	best identity issues that may need to be addressed during a pandemic.		
ACTION Identify Federal, State, and local regulatory requirements that may affect utility operations.			
	✓	SUPPORTING ACTIONS	QUESTIONS TO CONSIDER
		Identify regulations that, if temporarily modified, would reduce impacts on your	 Are there direct or indirect impacts on utilities from quality and safety requirements (e.g., maximum quantity of hazardous chemicals on-site) or other government actions (e.g., government imposed travel restrictions) that may be detrimental in a pandemic?
	Coordinate possible regulatory co	critical functions, resources, and workers. Coordinate possible regulatory constraints and relief options with Sector Coordinating Council (SCC) officials.	 What are the available legal options regarding temporary waivers on water quality (e.g., increased turbidity and/or "boil water" orders)? What temporary waivers may help with water quantity options affecting customer usage (e.g., limited hours, reduced holding tank volume)?
		Communicate potential relief actions in advance to workers, supporting businesses, and customers.	 Do you have permission from a statewide/federal-level authority to adjust water/wastewater standards? What other issues may arise from temporarily modifying safety procedures?

IMPACTS FROM COMMUNITY MITIGATION STRATEGIES

To reduce impacts from a pandemic influenza outbreak, Federal, State, tribal, and local government authorities, in addition to private entities, may implement a variety of strategies, including: voluntary isolation; voluntary home quarantine; school closures; and social distancing of adults in the community and workplace. The public health and social distancing strategies may ultimately contain the disease and will reduce the risk of infection and loss of life, but they also will have significant consequences for utilities and private sector businesses that must be managed carefully. For more information on possible community mitigation strategies, please see www.pandemicflu.gov/plan/community/commitigation.html, particularly Appendix 4, and Section 3 of the CI/KR Pandemic Guide.

ACTION Identify effects from mitigation strategies; take actions to reduce negative impacts.

ACTION Identify effects from mitigation strategies; take actions to reduce negative impacts.		tegies; take actions to reduce negative impacts.	
•		SUPPORTING ACTIONS	QUESTIONS TO CONSIDER
[Stra comr Con esta	culate effects of Community Mitigation tegies (www.pandemicflu.gov/plan/community/nitigation.html) on your utility. sider the need to separate the workforce, ablish independent locations, and/or serve a clean work site.	 What impacts may the strategies have on increasing your worker absentee rates due indirectly to the disease (e.g., how will it affect your workers if schools/daycare facilities close for weeks at a time)? What are the costs associated with expanding your sick leave policies to support home isolation and quarantine? What workplace social distancing measures can you implement (e.g., work-at-home options, split working/meal shifts, reduced travel, and increased use videoconferencing and teleconferencing)?

- Determine the strategies that your State/community may/can employ.

 Discuss with workers the potential impacts from strategies.

 Familiarize yourself with your community's pandemic planning trigger points and the CDC's Pandemic Severity Index that to determine the timing and use of mitigation interventions. For more, see: www.pandemicflu.gov/plan/community/commitigation.html#IV).
- How can you survey your employees to identify who may need to stay home, telework, or work an alternate schedule to care for children because they are dismissed from school or childcare?
- Have you met with your local leaders on the timing of measures, alerts, and implementation they are considering for the community at-large as well as potentially for your business, and on the complementary triggers for your operational response?
- What are the water and wastewater treatment demand changes when all schools and specific non-essential, places of assembly businesses close?
- Have you integrated in your pandemic business continuity plans adequate processes to monitor and support your workers' families in order to decrease worker absentee rates?

For more useful pandemic preparedness information, including a PDF copy of the complete Pandemic Influenza Preparedness, Response, and Recovery Guide for Critical Infrastructure and Key Resources,

visit www.pandemicflu.gov or email your questions to dhspandemic@dhs.gov.